

FORM PTO-1390  
(REV. 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

DOCKET #: 3245-710PUS

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING  
UNDER 35 U.S.C. 371

U.S. APPLICATION NO.

(Unknown, see 37 CFR 1.5)  
097462024

INTERNATIONAL APPLICATION NO.

PCT/DE98/01633

INTERNATIONAL FILING DATE

15 June 1998

PRIORITY DATE CLAIMED

30 June 1997

TITLE OF INVENTION

Method and Device for Producing Thin Slabs

APPLICANT(S) FOR DO/EO/US

Werner RAHMFELD

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An UNEXECUTED oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. Below concern other document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and or address letter.
16. ☒ Other items or information (*specify*): PCT Publication Sheet, Int'l Preliminary Examination Report, Int'l Search Report in German and English translation, PCT Request, Letter with Proposed Drawing Changes

09/462024

INTERNATIONAL APPLICATION  
PCT/DE98/01633

428 Rec'd PCT/PTO

By Express Mail # EL513860038US

30 DEC 1999

ATTORNEY'S DOCKET NUMBER

3245-710PU'S

17.[x]The following fees are submitted:

**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO .....\$840.00  
 International preliminary examination fee paid to USPTO (37 CFR 1.482).....\$670.00  
 No international preliminary examination fee paid to USPTO (37 CFR 1.482)  
 but international search fee paid to USPTO (37 CFR 1.445(a)(2)) .....\$760.00  
 Neither international preliminary examination fee (37 CFR 1.482)  
 nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....\$970.00  
 International preliminary examination fee paid to USPTO (37 CFR 1.482)  
 and all claims satisfied provisions of PCT Article 33(2)-(4) .....\$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT = \$840

Surcharge of **\$130.00** for furnishing the oath or declaration later than [] 20 [] 30 months  
 from the earliest claimed priority date (37 CFR 1.492(e)). \$

Claims	Number Filed	Number Extra	Rate	
Total Claims	10 - 20 =		x \$18.00	\$
Independent Claims	2 - 3 =		x \$78.00	\$
Multiple dependent claim(s) (if applicable)			+ \$260.00	\$
TOTAL OF ABOVE CALCULATIONS =				\$840

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity statement  
 must also be filed. (Note 37 CFR 1.9, 1.27, 1.28). \$

SUBTOTAL = \$840

Processing fee of **\$130.00** for furnishing the English translation later than [] 20 [] 30  
 months from the earliest claimed priority date (37 CFR 1.492(f)). + \$

TOTAL NATIONAL FEE = \$840

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
 accompanied by the appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + \$

TOTAL FEES ENCLOSED \$840

Amount to be refunded: \$

charged: \$

- a. [x] One check in the amount of \$840 to cover the above fees is/are enclosed.  
 b. [] Please charge my Deposit Account No. 03-2412 in the amount of \$\_\_\_\_\_ to cover the above fees. A duplicate copy of  
 this sheet is enclosed.  
 c. [x] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. 03-2412. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive  
 (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO  
Klaus P. Stoffel  
 Cohen, Pontani, Lieberman & Pavane  
 551 Fifth Avenue, Suite 1210  
 New York, New York 10176

Klaus P. Stoffel  
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Tel: (212) 687-2770

09/462024 By Express Mail  
Co. EE513860038US

428 Rec'd PCT/PTO 30 DEC 1999

# LAWYERS' AND MERCHANTS' TRANSLATION BUREAU INC.

Legal, Financial, Scientific, Technical and Patent Translations

11 BROADWAY  
NEW YORK, NY 10004



## Certificate of Accuracy

### TRANSLATION

From German into English

STATE OF NEW YORK }  
COUNTY OF NEW YORK } s.s.:

On this day personally appeared before me  
who, after being duly sworn, deposes and states:

Elisabeth A. Lucas

That he is a translator of the German and English languages by profes-  
sion and as such connected with the LAWYERS' & MERCHANTS' TRANSLATION  
BUREAU;

That he is thoroughly conversant with these languages;

That he has carefully made the attached translation ( [REDACTED] )  
[REDACTED] ) from the original document  
written in the German language, and

That the attached translation is a true and correct English version of such original,  
to the best of his knowledge and belief

SUBSCRIBED AND SWORN TO BEFORE ME  
THIS

DEC 2 - 1999

Susan Tapley  
Notary Public, State of New York  
NO. 01TA4999804  
Qualified in Queens County  
Certificate filed in New York County  
and Kings County  
Commission Expires July 27, 2000

09/462024

428 Rec'd PCT/PTO 30 DEC 1999  
Express Mail No. EL513860038US  
Attorney Docket # 3245-710PUS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re National Phase PCT Application of

Werner RAHMFELD

International Appln. No.: PCT/DE98/01633

International Filing Date: 15 June 1998

For: Method and Device for Producing Thin Slabs

LETTER WITH PROPOSED DRAWING CHANGES

Assistant Commissioner for Patents  
Washington, D.C. 20231  
**BOX PCT**

S I R:

Applicant hereby propose changes to the drawings as indicated in red on the copies attached herewith.

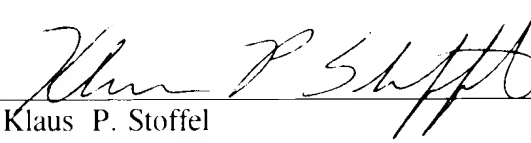
More particularly, Fig. 5 is proposed to be changed to be Figs. 5a and 5b.

The above-requested changes are based upon the specification and drawings as originally filed and it is respectfully submitted that no new matter, of the kind prohibited by 35 U.S.C §132, is introduced thereby.

Upon approval by the Examiner of the above-requested changes and the issuance of a Notice of Allowance, Applicant(s) will promptly attend to amending the formal drawings in keeping with present Office practices.

Favorable consideration is earnestly requested.

Respectfully submitted,  
COHEN, PONTANI, LIEBERMAN & PAVANE

By:   
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551 Fifth Avenue, Suite 1210  
New York, N.Y. 10176  
(212) 687-2770

30 December 1999

Enclosures: Proposed drawings